Department

of

Education

File Plan

-

SFA Electronic Records Management System

June 15, 2001

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1. Introduction

1.1 Purpose

The purpose of the Student Financial Assistance (SFA) File Plan is to provide the SFA Headquarters (HQ) staff with a corporate-wide capability to file and retrieve documents. The SFA file plan provides a mechanism to document SFA's activities effectively, and to retrieve records quickly. The plan is media neutral and may be applied to any record-keeping system including an electronic records management system (ERMS) as well as paper filing systems.

1.2 Project Description

The SFA ERMS project is designed to improve the efficiency of the SFA operations by use of an enterprise-wide records management solution. Records will be entered by system users or captured via a scanning process, placed in a searchable records management system, made accessible to those who have the appropriate security authority, and safeguarded according to SFA policy. Implementation of the solution developed will modernize the process of generating, managing, using, storing, securing, and disposing of hard copy and electronic records.

The SFA is one of the program offices within the U.S. Department of Education (hereafter called Department). In 1998, the Reauthorization of the Higher Education Programs established the SFA as the Government's first performance-based organization (PBO) to administer the SFA Assistance programs at the Department. As the responsible body for managing the delivery of Federal student financial aid, the SFA mission is to help put America through school. They administer several major student aid programs including Pell Grants and Stafford Loans. The financial aid programs provide approximately $54 billion of financial aid each year to college students.

1.3 Document Organization

The following sections are included in this document:

- **Section 1—Introduction** provides an overview of the SFA ERMS project including the purpose and organization of the document, a brief description of the project, key sources of information, and acronyms used in the document.

- **Section 2—Background** provides general background information about file plans in general and SFA's File Plan in particular.

- **Section 3—SFA File Plan Components** provides information related to the various parts of the SFA File Plan.

- **Section 4—SFA File Plan Structure** describes the 14 functional areas of the SFA File plan, as well as lists the subcategories (second- and third-tier file tags). This section also provides file codes for all third-tier file tags.

- **Section 5—General Index** provides a reference tool that links general government terms to the SFA File Plan.

- **Section 6—Document Mapping** describes the Document Record Control Center (DRCC) Mapping Table.

- **Attachment A—DRCC Document Mapping Table** provides a list of the DRCC documents collected during the requirements gathering phase of this project and maps the documents to their appropriate section in the SFA File Plan.

1.4 Points of Contact

The points of contact for this project are listed in Figure 1-1, Points of Contact.

Figure 1-1: Points of Contact

Organization	Name	Role	Phone No.
Department of Education	Chiquitta Thomas	Records Manager	202-708-9265
SFA	Jim Lynch	Chief Financial Officer (CFO); Project Sponsor	202-708-4664
	Cheryl Queen	Office of the Chief Information Officer (CIO); Integrated Project Team (IPT) Project Manager (IPT Lead)	202-708-9458
	James Barnard	Office of the CFO; Director of Administration	202-260-0202
	Greg Woods	Chief Operating Officer (COO)	202-205-2289
	To Be Determined (TBD)	SFA Records Manager	
EDS	Umang Thapar	Electronic Document Management (EDM) Services Technical Delivery Project Manager	202-414-4954
	Tim O'Connell	EDM Services Task Leader	202-414-8492
	John Hackett	EDM Services Certified Records Manager (CRM)	202-414-8341

1.5 Project References

The following information sources were used in the development of this document:

- Electronic Records Management Proposal Task Order #25 (Modification 01), April 20, 2001

- Requirements Specifications for the Student Financial Assistance Electronic Records Management System, March 30, 2001

- Student Financial Assistance Headquarters Records Management Handbook, January 16, 2001

- U.S. Department of Agriculture, National Agriculture Statistics Service (NASS), Files Maintenance and Disposition Manual, June 1986

- U.S. Department of Defense, Defense Logistics Agency, Records Management Handbook, Appendix 2 DLA Functional File System, n.d.

- U.S. Environmental Protection Agency, National Records Management Program: Six Steps to Better Files-Developing the File System-The File Structure, December 20, 2000

1.6 Acronyms

The following acronyms are used in this document:

AAAD   Administration, Actions, and Appeals Division

CBJ   Congressional Budget Justifications

CFO   Chief Financial Officer

CIO   Chief Information Officer

COO   Chief Operating Officer

DRCC   Document Record Control Center

DSG   Decision Support Group

EDM   Electronic Document Management

ERMS   Electronic Records Management System

FFEL   Federal Family Education Loan

FFS   Federal Financial System

FOIA   Freedom of Information Act

GAO   General Accounting Office

GPO   Government Printing Office

GRS   General Records Schedule

HQ   Headquarters

HR   Human Resources

IPT   Integrated Project Team

IPAR   Investigative Program Advisory Report

IT   Information technology

MOA   Memorandum of Agreement

MOU   Memorandum of Understanding

NARA   National Archives and Records Administration

OIG   Office of Inspector General

OMB   Office of Management and Budget

OPF   Official Personnel Folder

PA   Privacy Act

PBO   Performance-Based Organization

QFR   Question For the Record

RCS   Record Control Schedule

RFP   Request For Proposal

RWA   Reimbursable Work Authorization

SFA   Student Financial Assistance

TBD   To Be Determine

2. Background

This section provides general background information about file plans and specifically SFA's File Plan.

2.1   What is a file plan?

A file plan is a standard taxonomy, or structure, that is a mechanism for the orderly use, reuse, access, and disposition of records. File plans, through their structures, increase the accessibility to records, conserve physical file space or computer memory, prevent unnecessary duplication, and aid with the proper disposition of records.

NOTE: A *taxonomy* is defined by the Oxford English Dictionary (second edition) as a "classification, especially in relation to its general laws or principles…"

2.2   What is the SFA file plan?

The SFA file plan is a standardized filing system/structure that is to be used by all SFA staff for the filing of records that document the work of the SFA programs. The SFA file plan structure was created primarily for the implementation of an ERMS within SFA, but the structure may be used for both electronic and paper filing systems.

2.3   Why should I use the SFA file plan?

The file plan is an integral part of the business operations of SFA and its use has been mandated by SFA management. The file plan is a tailored group of functional categories that relate to SFA's business areas. A common corporate-wide filing system will speed the task of filing by components, and will allow access and collaboration to important information while protecting privacy. The file plan, with its common filing terms, will eliminate the need for individual filing arrangements on a staff member's desktop.

2.4   Where are my office's records within the SFA file plan?

The SFA file plan is a functional-based plan as opposed to an organizational-based plan; specific offices are not represented in the structure. The file plan is arranged into groups of records that best reflect and are typical of records SFA generates during its course of day-to-day business.

Functional file plans are preferable for the following two reasons:
- **Provides flexibility in the filing of the office records.** With a functional- based plan, different organizations that work with identical types of records may use the same file tags systems to store, retrieve, and share records. For example, multiple organizations perform procurement and contractual functions within SFA. With a functional file plan,

all procurement and contractual information will be placed in one section of the plan. Another example is SFA Policy—there might be policies relating to Campus-Based Programs, School Channels, or Students, but all documents are filed within SFA Policy. Under the current Department of Education records control schedules, all corporate-wide policies are held for the same retention period and have the same disposition.

- **Provides flexibility for organizational changes**. In the U.S. Government, organizational names change frequently. An organizational-based file plan would require prohibitive maintenance of the system to keep up with revisions such as changes to metadata, file tags, folders, and the shifting of records, to name a few. Under a functional file plan the specific organizations may change but the functional areas do not.

3. File Plan Components

This section provides information related to the components of the file plan.

3.1 Hierarchical Structure and File Tags

The file plan consists of a series of file tags, which are arranged to facilitate the grouping of SFA's documents. The arrangement is a three-tiered hierarchical structure that applies to all functional areas of SFA

Figure 3-1, SFA File Plan Structure, depicts the three-tiered hierarchical structure of the SFA file plan.

Figure 3-1: SFA File Plan Structure

Tier	Structure
First	The highest level functional category (1st tier file tag)
Second	Grouping by subcategory (2nd tier file tag)
Third	An additional subcategory (3rd tier file tag) that maps a document to a National Archives and Records Administration (NARA)-approved records control schedule (RCS)

An example of the three-tier file plan structure for SFA Policy (one of the 14 functional areas) is shown in Figure 3-2, File Plan Example for SFA Policy.

Figure 3-2: File Plan Example for SFA Policy

Policy (POL) *(Level 1)*	1st tier file tag Standard, hierarchical categories

Policy (POL) *(Level 1)* — 1st tier file tag
Standard, hierarchical categories

SFA Policy *(Level 2)* — 2nd tier file tag
Grouping by subcategory

Management Directives
(Level 3) — 3rd tier file tag
Documents types linked to RCS
Specifies appropriate record
disposition. SFA documents filed
at this level.
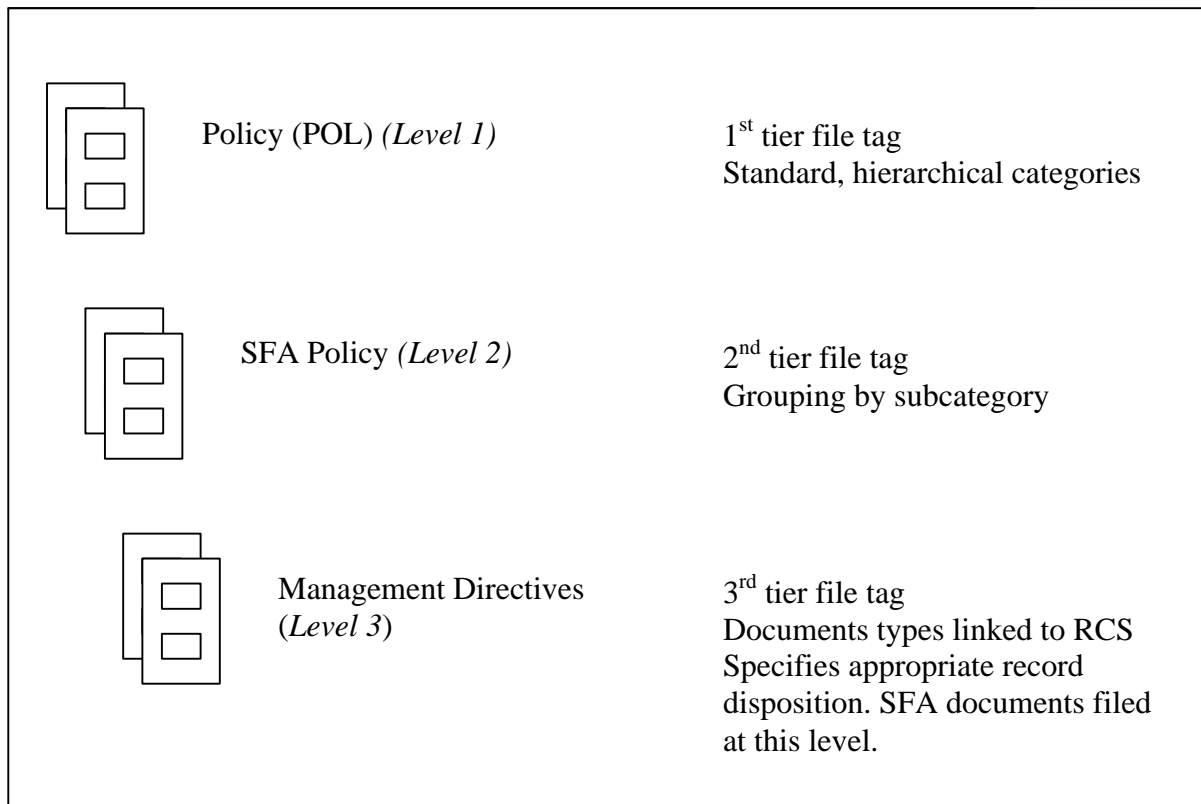
3.2 Functional Categories (First-Tier File Tags)

The 14 functional categories of the SFA file plan are used as the basis for classifying SFA's business records at a high level. Although these functional categories are similar to SFA's 12 business areas, the functional categories do not map directly to the business areas. Each functional category is represented by a three-character abbreviation that is used as the prefix for the file code.

NOTE: With the exception of Grants and Loans, and Eligibility and Oversight, the other 12 functional areas of SFA are relatively the same as the Department of Education's business areas.

The three-character abbreviations or prefixes for the 14 functional categories of the SFA file plan are as follows:

- Administration—ADM
- Procurement and Contracts—PRC
- Planning and Analysis—PLA

- Legal and Legislative—LEG
- Policy—POL
- Internal Review and Follow-Up—IRF
- Management Records (Senior)—MGT
- Agreements—AGR
- Human Resources—HRM
- Accounting and Finance—ACT
- Budget—BUD
- Information Management—IMM
- Grants and Loans—GRL
- Eligibility and Oversight—ELG

3.3 Subcategory File Tags (Second- and Third-Tier File Tags)

The second and third tiers of the file plan further classify the areas where documents may be filed. However, it is only at the third tier that documents are actually filed. In the SFA file plan, there are 130 unique third-tier file tags that are mapped to a NARA-approved RCS. The RCS determines the disposition, or retention period, of all documents that are filed under a file tag. Specifically, file tags are mapped to either NARA's General Records Schedule (GRS), the Department's RCS, or to an approved Request for Disposition Authority (known as NARA's Standard Form (SF) -115). Some categories may have more than one third-tier file tag; in such cases, this means the file tags may be related, but have different dispositions.

NOTE: The SF-115 form is used to request NARA's approval for a change in disposition of records covered by an existing records control schedule, or to gain approval for the disposition of a group of unscheduled records.

3.4 File Codes

File codes are numbering conventions used to abbreviate lengthy file titles in a file plan. In the ERMS, the file codes form part of the metadata that is used to identify each individual document. The most effective file codes use an alphanumeric scheme that includes a combination of letters and numbers. In SFA's file plan, the file code for each functional area consists of a three-letter abbreviation or pre-fix; the first-tier file tag is the highest level of classification. This is followed by a three-digit number relating to a type of record, and a one-up counter indicating the next file tag in the sequence. The prefix and the numbers form the file code and are then linked to a third-tier file tag in the file plan.

Examples of SFA file codes showing both the three-letter abbreviation (prefix) and the three-digit number are shown in Figure 3-3: SFA File Code Examples:

Figure 3-3: SFA File Code Example

Example:	100 Administration (ADM) 200 Policy (POL) 700 Grants and Loans (GLL) 800 Eligibility and Oversight (ELG)
Shortened title example:	Administration, Calendars, appointments, logs Shortened becomes: ADM-100-8

4. SFA File Plan

This section provides detailed information related to SFA's functional business units.

4.1 Administration

The Administration category contains files for general correspondence and other materials relating to the administration of individual offices within SFA. The records in this series include documents that relate to the internal SFA organization such as personnel, training, travel, and day-to-day administrative policies and procedures. Other records in this category include space allocation, records management (below office level only), and calendars/schedules, appointments, and logs. The SFA file plan for Administration is shown in Figure 4-1, Administration.

NOTE: Records relating to the corporate-wide organization such as organizational charts and history files, as well as, official SFA polices and procedures, should be filed under **Management Records (Senior)—MGT-250.**

Figure 4-1: Administration

Prefix	Number	Description	Comments
ADM	100	SFA Administration	
	100-1	General Correspondence	
	100-2	Organization	
	100-3	Personnel	Contains general HR materials such as staffing complement lists and employee directories
	100-4	Training	
	100-4-1	Internal	
	100-4-2	External	
	100-5	Procedures	
	100-6	Communications	
	100-7	Reports	
	100-8	Calendars, Appointments, Logs	Internal office documents
	100-9	Office File Plans	

Figure 4-1: Administration (continued)

Prefix	Number	Description	Comments
ADM	100-10	Office Policy and Procedures	Office specific policies and procedures
	100-11	Space Allocation, Design, Construction	
	100-12	Publications	Office specific publications
	100-13	Travel	

4.2 Procurement and Contracts

The Procurement and Contracts category contains a centralized filing structure for all procurement and contract activities within SFA. This category contains two file tags, each with a different disposition, which relate to the procurement of all component equipment, services, and supplies, as well as to the contracting of supplies and services. Records may be filed by year and vendor, or by contract or procurement number under the appropriate file tag. These records may duplicate materials held by the Department's Procurement and Contracts office. The SFA file plan for Procurement and Contracts is shown in Figure 4-2, Procurement and Contracts.

Figure 4-2: Procurement and Contracts

Prefix	Number	Description	Comments
PRC	125	SFA Procurement and Contracts	
	125-1	General Correspondence	
	125-2	Contracts—Under 25K (Simplified Acquisitions)	Includes contracts, modifications, invoices, task orders, solicitation materials (pre & post), deliverables, request for proposals (RFPs), proposals, claims and disputes
	125-3	Contracts—Over 25K	Same as above

4.3 Planning and Analysis

This category includes records such as general correspondence and other documents that relate to general organization, planning, and analysis. The records include analysis and improvement of a general nature, and are different from records that document audits, inspections, or surveys. This series also includes records relating to SFA and Department reports. The SFA file plan for Planning and Analysis is shown in Figure 4-3, Planning and Analysis.

NOTE: Master copies of SFA Handbooks, Reports, and Studies should be filed under **Management Records (Senior)—MGT-250**.

Figure 4-3: Planning and Analysis

Prefix	Number	Description	Comments
PLA	150	SFA Planning and Analysis	
	150-1	General Correspondence	
	150-2	Reports	
	150-2-1	SFA	
	150-2-2	Department of Education	

4.4   Legal and Legislative

This category includes records relating to SFA's legal matters such as adjudication records (case files and decisions) as well as other cases pending before SFA's Legal office. In addition, this series includes legislative history files consisting of record copies of hearings, bills, and statutes pertaining to SFA. There are also records relating to proposed rule changes and Federal Register notices as they relate to SFA programs. This category may contain records that duplicate materials in the Department's General Counsel's Office. The SFA file plan for Legal and Legislative is shown in Figure 4-4, Legal and Legislative.

Figure 4-4: Legal and Legislative

Prefix	Number	Description	Comments
LEG	175	SFA Legal and Legislative	
	175-1	General Correspondence	
	175-2	Federal Register (and proposed rule changes)	
	175-3	Legislation	
	175-4	Congressional Hearings	
	175-5	Adjudication Materials	
	175-5-1	Case Files	
	175-5-2	Decisions	
	175-6	Pending Cases	

4.5 Policy

This category includes records relating to official policy and procedures of the SFA organization. The series contains materials relating to all corporate-wide policy and management directives, as well as all, SFA external policies relating to the student loan program. The SFA file plan for Policy is shown in Figure 4-5, Policy.

NOTE: Internal office policies relating to the general administration of individual SFA offices should be filed under **Administration—ADM-100**.

Figure 4-5: Policy

Prefix	Number	Description	Comments
POL	200	SFA Policy	
	200-1	General Correspondence	
	200-2	Policy Documents	For corporate-wide policies; or for SFA policies issued for students, institutions, and financial partners
	200-3	Management Directives	

4.6 Internal Review and Follow-Up

This category contains records relating to SFA's internal audit, investigations, and review. In addition, this series also contains record copies of SFA's investigative case files, Investigative Program Advisory Reports (IPARs), memoranda and correspondence. There are also copies of the Department's Office of Inspector General (OIG), and General Accounting Office (GAO) reports. The SFA file plan for Internal Review and Follow-Up is shown in Figure 4-6, Internal Review and Follow-Up.

Figure 4-6: Internal Review and Follow-Up

Prefix	Number	Description	Comments
IRF	225	SFA Internal Audits/Reviews	
	225-1	General Correspondence	
	225-2	Office of Inspector General	Audit case files
	225-3	General Accounting Office	GAO and other audits of ED funded programs.
	225-4	Case Files	
	225-6	Investigative Program Advisory Reports	
	225-6-1	Case Files	
	225-7	Studies and Reports	Contains Defaulted Borrower Studies, Questioned Cost Studies, and *Semi-Annual Report to Congress*
	225-8	Audit Guides and Support Materials	
	225-9	Action Memoranda and Correspondence	
	225-10	Work Plans	

4.7 Management Records

This category relates to records of the senior officials of SFA. The series includes record copies of general correspondence, speeches, briefings, daily schedules and briefing books, and all internal and external communications. In addition, the records include materials documenting SFA's participation in all committees, task forces, and conferences. This category is also the central file for congressional correspondence and congressional hearing materials (non-budget) within SFA. Speeches and briefings below the senior management level are also filed in this category. The SFA file plan for Management Records is shown in Figure 4-7, Management Records.

Figure 4-7: Management Records

Prefix	Number	Description	Comments
MGT	250	SFA Management Materials	
	250-1	General Correspondence	
	250-2	Committees, Meetings, Task Forces, Conferences	Records relating to SFA's officers participation
	250-3	Speeches, Briefings, and Presentations	
	250-3-1	Above Office Level (Senior Management)	Senior management
	250-3-2	Office Level and Below	Below Senior management
	250-4	Manuals and Reports	
	250-5	Briefing Books and Daily Schedules/Calendars	Includes business process review and working capital fund studies
	250-6	Research and Management Studies	
	250-7	Communications	Includes master copies of publications
	250-7-1	Internal	
	250-7-2	External	
	250-7-3	Media Relations	
	250-8	Congressional Correspondence	
	250-9	Performance Agreements	Senior manager agreements

4.8 Agreements

This category is a central file for all SFA agreements. The records include general correspondence as well as delegations of authority, inter-agency agreements, memoranda of understanding (MOUs), memoranda of authority (MOAs), and reimbursable work authorizations (RWAs). In addition, this category includes printing agreements with the Government Printing Office (GPO). Some items may be duplicates of agreements held by the Department. The SFA file plan for Agreements is shown in Figure 4-8, Agreements.

Figure 4-8: Agreements

Prefix	Number	Description	Comments
AGR	275	SFA Agreements	
	275-1	General Correspondence	
	275-2	Delegations of Authority	
	275-3	GPO	Printing agreements
	275-4	Inter-Agency Agreements/MOUs/MOAs	
	275-5	Funds Transfers	
	275-6	Non-Fund Transfers	
	275-7	Intra-Agency Agreements/MOUs/MOAs	
	275-8	Reimbursable Work Authorizations	

4.9 Human Resources

This category is for use by SFA's Human Resources specialists to file Human Resources (HR) or personnel- related records[1]. This category contains copies of the official personnel folders (OPF) and may contain duplicates of other records, which are held by the Department. The SFA file plan for Human Resources is shown in Figure 4-9, Human Resources.

NOTE: Personnel records of a general nature such as staffing complements or telephone lists should be filed under **Administration—ADM-100-3 (Personnel)**.

Figure 4-9: Human Resources

Prefix	Number	Description	Comments
HRM	300	SFA Human Resources	May duplicate materials in the Department's HR Office
	300-1	General Correspondence	
	300-2	Employee Human Resources Materials	
	300-3	Performance Evaluation Materials	
	300-4	Awards	
	300-5	Applications	
	300-6	Reports	

[1]Mod Partner has recommended to SFA that for privacy and security reasons, no Human Resources materials be filed into the ERMS.

4.10 Accounting and Finance

This category contains records of SFA's disbursement and collection activities, and materials relating to the maintenance, control, and accountability of SFA's finances. The records are primarily generated from the Department's electronic financial systems such as Federal Financial System (FFS) and its successor, Oracle Financials. The Department may hold the record copies of the majority of the documents in this category (excluding the correspondence). The SFA file plan for Accounting and Finance is shown in Figure 4-10, Accounting and Finance.

Figure 4-10: Accounting and Finance

Prefix	Number	Description	Comments
ACT	400	SFA Accounting and Finance	
	400-1	General Correspondence	
	400-2	Accounting Materials	Includes most Accounting Officer's files
	400-3	Payroll Reporting	Includes Payroll Run generated by HR
	400-4	Accounts Receivable	
	400-5	Financial Reports	
	400-6	Financial Statements	
	400-7	Reimbursements	

4.11 Budget

This category contains general correspondence and records relating to SFA's budget process. The series includes records relating to the preparation, review, submission, estimate, and justification for the yearly budget process. In addition, there are records that include apportionments and allotments, as well as, materials that relate to congressional budget hearings. These records may duplicate records held by the Department's Budget Office. The SFA file plan for Budget is shown in Figure 4-11, Budget.

Figure 4-11: Budget

Prefix	Number	Description	Comments
BUD	450	SFA Budget	
	450-1	General Correspondence	
	450-2	Estimates	
	450-3	Justifications (Congressional Budget Justifications [CBJs] and Questions for the Record [QFRs])	
	450-4	Submissions	Includes supporting documentation
	450-4-1	Regular	
	450-4-2	Mid Year	
	450-5	Apportionments and Allotments	Includes Decision Support Group (DSG) "placemat" document
	450-6	Budget Hearings	

4.12 Information Management

This category contains records relating to the information technology (IT) and records management business areas within SFA. In addition, this series includes records relating to information security, Freedom of Information Act (FOIA) and Privacy Act (PA) issues. The SFA file plan for Information Management is shown in Figure 4-12, Information Management.

NOTE: Records relating to the procurement of IT systems should be filed under **Procurement and Contracts—PRC-125**.

Figure 4-12: Information Management

Prefix	Number	Description	Comments
IMM	500	SFA Information Management	
	500-1	General Correspondence	
	500-2	Information Technology Services	Includes all IT- related records including development with the exception of procurement
	500-3	Records Management	Materials relating to the SFA Records Program
	500-4	Information Security	
	500-5	Freedom of Information Act/Privacy Act	Central file for all requests and responses with supporting materials

4.13 Grants and Loans

This category contains general correspondence and records relating to the oversight and maintenance of the individual student loan programs including Pell and Direct grants and loans. Records include applications, eligibility certifications, repayment and loan materials, reconciliations, and training. The SFA file plan for Grants and Loans is shown in Figure 4-13, Grants and Loans.

NOTE: Materials relating to Lenders and Guarantee Agencies as well as Schools (domestic and foreign) may be found in the **Eligibility and Oversight—ELG-800**.

Figure 4-13: Grants and Loans

Prefix	Number	Description	Comments
GRL	700	SFA Grants and Loans	
	700-1	General Correspondence	
	700-2	Programs Eligibility Certifications	
	700-3	Training and Educational Materials	
	700-4	Application Package/Request Materials	Includes processing forms, inquiry forms, Office of Management and Budget (OMB) clearance materials, tracking summaries, and computer matching agreements
	700-5	Customer Service (Schools and Students)	
	700-6	Promotional Materials	
	700-7	Repayment Information	
	700-8	Loan Consolidation Materials	
	700-9	Collection Materials	
	700-10	Promissory Notes	
	700-11	Financial Statements/Reports	
	700-12	Reconciliations	
	700-12-1	Campus-Based Loans	
	700-12-2	Direct	

Figure 4-13: Grants and Loans (Continued)

Prefix	Number	Description	Comments
GRL	700-12-3	Pell	
	700-12-4	FFEL	

4.14 Eligibility and Oversight

This category includes records, which document the process that an educational institution participates in SFA programs. The records also document the participation of the financial aid community including institutions, accreditation and state licensing agencies, guaranty agencies, lenders, and auditors. These records include eligibility files, financial statements, audit reports, and program review files. The SFA file plan for Eligibility and Oversight is shown in Figure 4-14, Eligibility and Oversight.

NOTE: Records relating to individual student grants and loans may be found in **Grants and Loans—GRL-700**.

Figure 4-14: Eligibility and Oversight

Prefix	Number	Description	Comments
ELG	**800**	**SFA Eligibility and Oversight— Lenders and Guarantee**	
	800-1	General Correspondence	
	800-2	Program Eligibility	
	800-3	Training and Educational Materials	
	800-4	Program Participation Materials	
	800-5	Financial Management	
	800-5-1	Summary Reports	
	800-5-2	Financial Statement	
	800-6	Court Case Files	
	850	**SFA Eligibility and Oversight— Schools (Domestic and Foreign)**	
	850-1	General Correspondence	
	850-2	Eligibility and Certification Approvals	Eligibility files contain some background materials for participating institutions
	850-3	Eligibility and Certification Correspondence	
	850-4	Applications	Copies of applications filed electronically may be found Eligibility files (850-2)
	850-5	Financial Analysis	Includes statements filed annually by participating institutions

Figure 4-14: Eligibility and Oversight (Continued)

Prefix	Number	Description	Comments
ELG	850-6	Audit Reports	Reports detailing Title IV audits of participating institutions
	850-7	Congressional Correspondence	
	850-8	Program Review Files	Monitors compliance with Title IV programs
	850-9	Financials	
	875	**SFA Case Subject Material— Administration, Actions, and Appeals Division (AAAD)**	**Records for reference only.**
	875-1	General Correspondence	
	875-2	Subpart G Cases	
	875-3	Subpart H Cases	
	875-4	Debarment and Suspension Actions	
	875-5	Revocation Actions	
	875-6	Default Materials	
	875-7	TBD	

5. General Index

Figure 5-1, General Index, provides a list of general government terms and where they may be found in the SFA File Plan.

Figure 5-1: General Index

Term	Location in File Plan
Adjudication	Legal and Legislative (175)—*Adjudication Materials*
Apportionments and Allotments	Budget (450)—*Apportionments and Allotments*
Audit Reports	Internal Review and Follow-Up (225)—*Studies and Reports*
Congressional Correspondence	Management Records (250)—*Congressional Correspondence*; and Eligibility and Oversight—Schools (Domestic and Foreign) (850)—*Congressional Correspondence*
Delegations of Authority	Agreements (275)—*Delegations of Authority*
Federal Register Materials	Legal and Legislative (175)—*Federal Register*
Freedom of Information Act (FOIA)	Information Management (500)—*FOIA/PA*
Information Security	Information Management (500)—*Information Security*
Information Technology—Procurement	Procurement and Contracts (125)—*Contracts Under 25K*; and *Contracts Over 25K*
Information Technology—Requirements	Information Management (500)—*Information Technology Services*
Justifications (CBJs & QFRs)	Budget (450)—*Justifications (CBJs and QFRs)*
Memorandum of Understanding (MOU)	Agreements (275)—*Memoranda of Understanding*
Payroll Reporting	Accounting and Finance (400)—*Payroll Reporting*
Performance Agreements	Management Records (250)—*Performance Agreements*
Privacy Act (PA)	Information Management (500)—*FOIA/PA*
Purchase Requisition	Procurement and Contracts (125)—*Contract Under 25K*; and *Contracts Over 25K*

Figure 5-1: General Index (continued)

Term	Location in File Plan
SFA Policy—(Office-Wide)	Policy (200)
Space Planning and Allocation	Administration (100)—*Space Allocation, Design, Construction*
Training	Administration (100)—*Training (Internal and External)*
Travel	Administration (100)—*Travel*

6. Document Mapping

A list of DRCC documents collected during the requirements gathering phase of this project is provided in Attachment A, DRCC Document Mapping Table. These documents are mapped to the third-level file tag using corresponding file codes.

ATTACHMENT A—DRCC DOCUMENT MAPPING TABLE

Document Mapping Table - By Office

Channel/Division	Document Name	File Tag
4.4 Case Management and Oversight See Sect. 4.4.3. Data Mgmt and Analysis		
4.4.1. Performance Impr. And Procedures, Admin Actions, and Appeals Division	Subpart G Cases Case Types Include: Emergency Actions (G1) Emergency Termination Actions (G2) Fine Actions (G3) No Action (G4) Disqualification (G5) Cases Categorized as Either: 1. Active 2. Inactive	875-2
	Subpart H Cases Case Types Either: 1. Prog. Review Appeals (H1) 2. Audit Appeals (H2) Document Types Include: Appeal Letters Other Correspondence Documentation (School Submitted) Final Outcome Cases Categorized as Either: 1. Active 2. Inactive	875-3
	Debarments and Suspensions Case Types as Either: 1. Debarments (D) 2. Suspensions (S) Document Types Include: 1. Notice (D1 or S1) 2. Supporting Documentation (D2 or S2) Cases Categorized as Either: 1. Active 2. Inactive	875-4
4.4.2. Default Management	School Records Archival Materials Kept in Records Center Suitland, MD.	
	Current Eligibility Records in File Room for 100 Inst's. Archival Materials Kept in Records Center Suitland, MD.	

Document Mapping Table - By Office

Channel/Division	Document Name	File Tag
	Challenges/Appeals (Active) Do Not Scan Until Appeal is Complete. Inactive Appeals Archived in the Records Center Suitland, MD.	875-6
4.4.3. Data Management and Analysis Includes DRCC	Eligibility & Certification: 1. Eligibility and Certification Approval Documents a. Program Participation Agreement (PPA) – includes temporary PPA (TPPA) b. Eligibility Certification Approval Report (ECAR)	850-2
4.4.3. Data Management and Analysis	2. Correspondencea. Approval Letter (Final)b. School Closure or Loss of Eligibility Letterc. Additional Locationsd. CMIS Case Reporte. Emails of Importancef. Congressionalg. FOIAh. Acknowledgement Noticesi. PPA Transmittal Letterj. Miscellaneousk. Specialist Notes	850-3
4.4.3. Data Management and Analysis	3. Application Section a. Application Signature Page b. Additional Locations Approval Letters c. Accreditation Letter d. State License e. Cohort Default Letter f. Debarment Check g. 501(3)C – For Non-Profit Schools h. Case Team Review Sheets	850-4
4.4.3. Data Management and Analysis	4. Final Analysis Section a. Financial Analysis Summary b. Letter of Credit c. Dunn & Bradstreet d. Inquiries i. Congressional ii. FOIA e. Correspondence i. Waiver ii. Extension	850-5

Document Mapping Table - By Office

Channel/Division	Document Name	File Tag
4.4.3. Data Management and Analysis	Audit: 1. Audit Reports a. Final Audit Determination Letter (FAD) b. Audit Clearance Document (ACD) c. Data Deficiency Input Form (DDIF) d. Institution Response e. Appeal Resolution f. Draft & Final IG Audit g. Documentation Relating to Pell Adjustments h. Letters Regarding IG QCRS i. Emails of Importance	850-6
4.4.3. Data Management and Analysis	2. Inquiries a. FOIA b. Congressional Correspondence	TBD
4.4.3. Data Management and Analysis	3. Correspondence a. Waiver Letters b. Extension Letters	TBD
4.4.3. Data Management and Analysis	Program Review:1. Program Review Reportsa. Final Program Review Determination Letter (FPRD)b. Institution Respnsec. Appeal Resolutiond. Documentation Relating to Pell Adjustmentse. Emails of Importance2. Inquiriesa. Congressional Correspondenceb. FOIAc. Miscellaneous	850-8
4.4.3. Data Management and Analysis	Financials: 1. Financial Statement Reports a. Notes b. Accompanying Reports	850-9

Document Mapping Table - By Office

Channel/Division	Document Name	File Tag
4.4.4. Foreign Schools	Prog. Participation Agreements and Addendums Eligibility and Certification Approval Report (ECARS) Re-Certification Materials: 1. Financial Statements (Schools) 2. Catalogs and Prospectus (Schools) 3. Legal Authorizations and English Translations 4. Accreditation (Med. Schools) 5. School Description from World Health Directory Web Page (e.g., Med. School) 6. Letters/Correspondence 7. Checklist for Analyzing Re-Certifications for New Schools Communications Log Basic Data Entry Sheets for PEPS Entry Program Reviews Foreign School Team Conference Calls (CONCALLS)	850-2

Document Mapping Table - By File Tag

File Tag	Channel/Division	Document Name
	4.4 Case Management and Oversight See Sect. 4.4.3. Data Mgmt and Analysis	
	4.4.2. Default Management	School Records Archival Materials Kept in Records Center Suitland, MD.
	4.4.2. Default Management	Current Eligibility Records in File Room for 100 Inst's. Archival Materials Kept in Records Center Suitland, MD.
850-2	4.4.3. Data Management and Analysis Includes DRCC	Eligibility & Certification: 1. Eligibility and Certification Approval Documents a. Program Participation Agreement (PPA) – includes temporary PPA (TPPA) b. Eligibility Certification Approval Report (ECAR)
850-2	4.4.4. Foreign Schools	Prog. Participation Agreements and Addendums Eligibility and Certification Approval Report (ECARS) Re-Certification Materials: 1. Financial Statements (Schools) 2. Catalogs and Prospectus (Schools) 3. Legal Authorizations and English Translations 4. A
850-3	4.4.3. Data Management and Analysis	2. Correspondence a. Approval Letter (Final) b. School Closure or Loss of Eligibility Letter c. Additional Locations d. CMIS Case Report e. Emails of Importance f. Congressional g. FOIA h. Acknowledgement Notices i. PPA Transmittal Letter j. Miscellaneou
850-4	4.4.3. Data Management and Analysis	3. Application Section a. Application Signature Page b. Additional Locations Approval Letters c. Accreditation Letter d. State License e. Cohort Default Letter f. Debarment Check g. 501(3)C – For Non-Profit Schools h. Case Team Review Sheets

Document Mapping Table - By File Tag

File Tag	Channel/Division	Document Name
850-5	4.4.3. Data Management and Analysis	4. Final Analysis Section a. Financial Analysis Summary b. Letter of Credit c. Dunn & Bradstreet d. Inquiries i. Congressional ii. FOIA e. Correspondence i. Waiver ii. Extension
850-6	4.4.3. Data Management and Analysis	Audit:1. Audit Reportsa. Final Audit Determination Letter (FAD)b. Audit Clearance Document (ACD)c. Data Deficiency Input Form (DDIF)d. Institution Responsee. Appeal Resolutionf. Draft & Final IG Auditg. Documentation Relating to Pell Adjustmentsh
850-8	4.4.3. Data Management and Analysis	Program Review: 1. Program Review Reports a. Final Program Review Determination Letter (FPRD) b. Institution Respnse c. Appeal Resolution d. Documentation Relating to Pell Adjustments e. Emails of Importance 2. Inquiries a. Congressional Correspondence
850-9	4.4.3. Data Management and Analysis	Financials: 1. Financial Statement Reports a. Notes b. Accompanying Reports
875-2	4.4.1. Performance Impr. And Procedures, Admin Actions, and Appeals Division	Subpart G Cases Case Types Include: Emergency Actions (G1) Emergency Termination Actions (G2) Fine Actions (G3) No Action (G4) Disqualification (G5) Cases Categorized as Either: 1. Active 2. Inactive

Document Mapping Table - By File Tag

File Tag	Channel/Division	Document Name
875-3	4.4.1. Performance Impr. And Procedures, Admin Actions, and Appeals Division	Subpart H Cases Case Types Either: 1. Prog. Review Appeals (H1) 2. Audit Appeals (H2) Document Types Include: Appeal Letters Other Correspondence Documentation (School Submitted) Final Outcome Cases Categorized as Either: 1. Active 2. Inactive
875-4	4.4.1. Performance Impr. And Procedures, Admin Actions, and Appeals Division	Debarments and Suspensions Case Types as Either:1. Debarments (D)2. Suspensions (S)Document Types Include:1. Notice (D1 or S1)2. Supporting Documentation (D2 or S2)Cases Categorized as Either:1. Active2. Inactive
875-6	4.4.2. Default Management	Challenges/Appeals (Active) Do Not Scan Until Appeal is Complete. Inactive Appeals Archived in the Records Center Suitland, MD.
TBD	4.4.3. Data Management and Analysis	2. Inquiries a. FOIA b. Congressional Correspondence
TBD	4.4.3. Data Management and Analysis	3. Correspondence a. Waiver Letters b. Extension Letters